

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
REQUEST FOR FILING APPLICATION UNDER 37 C.F.R. 1.53(b)
WITHOUT FILING FEE AND/OR WITHOUT EXECUTED INVENTOR'S DECLARATION

Assistant Commissioner for Patent 35 U.S. PTO Atty. Dkt. 829-590
Washington, DC 20231

Sir:



Date: November 27, 2001

J1040 U.S. PTO
09/993897
11/27/01

This is a request for filing a new PATENT APPLICATION under Rule 53(b) entitled:

Semiconductor Substrate and Method For Fabricating the Same

without a filing fee and/or without an executed inventor's oath/declaration.

This application is made by the below identified inventor(s). Attached hereto are the following papers:

- ☐ Newly executed Declaration, ☐ Copy of Declaration from prior application, ☒ Abstract
24 pages of specification and claims (including 5 numbered claims), and
5 sheets of accompanying drawing/s.

☐ Record the attached assignment and return to the undersigned.

☐ Attached is a Power of Attorney.

☒ Priority is hereby claimed under 35 U.S.C. § 119 based on the following foreign applications:

Application Number	Country	Day/Month/Year Filed
2000-361979	Japan	28 November 2000

, respectively, the entire content of which is hereby incorporated by reference in this application..

☒ Certified copy(ies) of foreign application(s) is/are attached.

☐ Certified copy(ies) filed on _____ in prior application no. _____ filed _____

☐ Please amend the specification by inserting the following paragraph before the first line: --This application claims the benefit of Provisional Application No. _____, filed _____, the entire content of which is hereby incorporated by reference in this application.--

☐ Please amend the specification by inserting the following paragraph before the first line: --This application is a ☐ continuation/☐ division/☐ continuation-in-part of Application No. _____, filed _____, the entire content of which is hereby incorporated by reference in this application.--

☐ Petition filed in prior application to extend its life to insure co-pendency.

☐ The prior application is assigned to Sharp Kabushiki Kaisha.

☐ It is hereby requested that the Examiner consider the art cited in the above parent application(s) by applicant and/or the Examiner for the reasons stated therein. A listing of that art is attached, but pursuant to Rule 98(d) copies are not required.

☐ Applicant claims "small entity" status. ☐ "Small entity" statement attached.

☐ Please enter the attached and/or below preliminary amendment prior to calculation of filing fee:

☒ Also attached: ☒ Information Disclosure Statement; ☐ Non-Publication Request; ☐ Nucleotide and/or Amino Acid Sequence Submission; ☐ Statement deleting Inventor(s) named in prior application; ☐ Other:

1. Inventor: Masayuki FUKUMI Japanese
(first) MI (last) (citizenship)
Residence: (city) Tenri-shi, Nara (state/country) Japan
Mailing Address: 2613-1, Ichinomotocho, Tenri-shi, Nara, Japan
(Zip Code) _____

2. Inventor: _____ (first) MI (last) (citizenship)
Residence: (city) _____ (state/country) _____
Mailing Address: _____
(Zip Code) _____

☐ See attached sheet(s) for additional inventor(s) information!!

Address all future communications to NIXON & VANDERHYE P.C., 1100 North Glebe Road, 8th Floor, Arlington, VA 22201.

1100 North Glebe Road, 8th Floor
Arlington, Virginia 22201-4714
Telephone: (703) 816-4000
Facsimile: (703) 816-4100
HWB:ish

NIXON & VANDERHYE P.C.

By Atty: H. Warren Burnam, Jr., Reg. No. 29,366

Signature: _____

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Sector 10

In re Patent Application of:

Attention: Application Branch

FUKUMI

Atty. Dkt. 829-590

Serial No. 09/993,897

Filed: November 27, 2001

Date: January 29, 2002

For: SEMICONDUCTOR SUBSTRATE AND METHOD FOR FABRICATING THE
SAMEAssistant Commissioner for Patents
Washington, D.C. 20231The attached completes filing of the above-identified patent application:

- ☒ Signed Rule 63 Declaration alone, ☐ Copy of Declaration from prior application alone, OR
☐ Signed Declaration plus attached copy of originally filed specification/drawings.
☒ **NOTICE TO FILE MISSING PARTS OF APPLICATION FILING DATE GRANTED** form.
☒ Record the attached assignment and return to the undersigned.
☒ Attached is a Power of Attorney.
☒ Priority is hereby claimed under 35 U.S.C. § 119 based on the following foreign applications:
- | Application Number | Country | Day/Month/Year Filed |
|--------------------|---------|----------------------|
| 2000-361979 | Japan | 28 November 2000 |

respectively.

- ☐ Certified copy(ies) of foreign application(s) is/are attached.
☒ Certified copy(ies) filed on **November 27, 2001**.
☐ Applicant claims "small entity" status. ☐ "Small entity" statement attached.
☐ Please enter the attached and/or below preliminary amendment prior to calculation of filing fee.
☐ Also attached: ☐ Information Disclosure Statement; ☐ Nucleotide and/or Amino Acid
Sequence Submission; ☐ Other:

Fees due are calculated below:

Basic filing fee				\$	740.00
Total Effective claims	5	- 20 =	0	x \$	18.00
Independent claims	2	- 3 =	0	x \$	84.00
If any proper multiple dependent claims now added for first time, add \$280.00 (ignore improper)					\$ 0.00
FILING FEE					\$ 740.00
Petition is hereby made to extend the current due date so as to cover the filing date of this paper and attachment(s) (\$110.00/1 month; \$400.00/2 months; \$920.00/3 months; \$1440.00/4 months)					\$ 0.00
Surcharge (\$130.00) if Declaration or filing fee first now submitted					\$ 130.00
English translation of specification and claims (\$130.00)					\$ 0.00
FIRST SUBTOTAL					\$ 870.00
If "small entity," enter half (1/2) of subtotal and subtract					-\$ 0.00
SECOND SUBTOTAL					\$ 870.00
Assignment Recording Fee (\$40.00)					\$ 40.00
TOTAL FEE DUE					\$ 910.00
Check enclosed (Pre-Bill)*					\$ 910.00
Check enclosed (non Pre-Bill)*					\$
TOTAL FEE ENCLOSED					\$ 910.00

Any future submission requiring an extension of time is hereby stated to include a petition for such time extension. The Commissioner is hereby authorized to charge any deficiency, or credit any overpayment, in the fee(s) filed, or asserted to be filed, or which should have been filed herewith (or with any paper hereafter filed in this application by this firm) to our **Account No. 14-1140**. A duplicate copy of this sheet is attached.

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HWB:ish

NIXON & VANDERHYE P.C.

By Atty: H. Warren Burnam, Jr., Reg. No. 29,366

Signature: Mark W. Burnam